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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>	09/776,707	
	<b>Filing Date</b>	February 6, 2001
	<b>First Named Inventor</b>	David S. MILLER
	<b>Group Art Unit</b>	2163
	<b>Examiner Name</b>	M. Irshadullah
<b>Total Number of Pages in This Submission</b>	<b>Attorney Docket Number</b>	31921-169140

### ENCLOSURES (check all that apply)


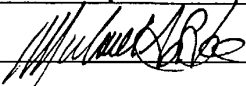
- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s)

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Other Enclosure(s) (please identify below):

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Venable P.O. Box 34385 Washington, DC 20043-9998	 <b>26694</b> PATENT TRADEMARK OFFICE
Signature	Michael A. Sartori, Ph.D. Reg. No. 41,289	
Date	May 21, 2003	

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name

Signature

Date

**VENABLE**  
ATTORNEYS AT LAW

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
DC2-458362



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

David S. MILLER

Application No.: 09/776,707

Confirmation No.: 5703

Filed: February 6, 2001

For: SYSTEM FOR COLLECTING  
TAX DATA (As Amended)

Art Unit: 2163

Examiner: M. Irshadullah

Attorney Docket No. 31921-169140

Customer No.



26694

PATENT TRADEMARK OFFICE

**Information Disclosure Statement Under 37 C.F.R. § 1.97(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

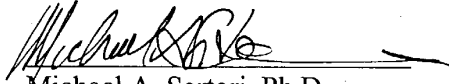
Sir:

This is an Information Disclosure Statement submitted under 37 C.F.R. § 1.97 within the time specified under 37 C.F.R. § 1.97(b). The U.S. Patent and Trademark Office is notified of the documents which are listed on the attached Form PTO-1449. One copy of each of the listed documents is submitted herewith.

In view of the above, no further translation or statement of relevance is required, and as all requirements of 37 C.F.R. § 1.97 and all official guidelines pertaining to Information Disclosure Statements have been complied with, and it is therefore respectfully requested that the Examiner consider the documents and make them of record.

Respectfully submitted,

Date: May 21, 2003



Michael A. Sartori, Ph.D.

Registration No. 41,289

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MAS/CJS  
DC2-458156



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: David S. MILLER

Application No.: 09/776,707

Confirmation No.: 5703

Filed: February 6, 2001

For: FULLY AUTOMATED SYSTEM  
FOR TAX REPORTING,  
PAYMENT AND REFUND

Art Unit: 2163

Examiner: Not Yet Assigned

Attorney Docket No.: 31921-169140

Customer No.:



26694

Patent and Trademark Office

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

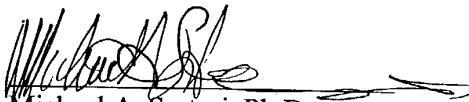
This is an Information Disclosure Statement submitted under 37 C.F.R. § 1.97 within the time specified under 37 C.F.R. § 1.97(b). The U.S. Patent and Trademark Office is notified of the documents which are listed on the attached Form PTO-1449. One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed before the mailing date of the first Office Action on the merits.

Please charge any necessary fee or credit any overpayment in connection with this  
Information Disclosure Statement to Deposit Account No. 22-0261.

Dated: June 22, 2001

Respectfully submitted,



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MAS/EJW/tl  
DC2-293784

9 2004

TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: David S. MILLER

Patent No. 6,697,787  
Issue Date: February 24, 2004  
Inventor: David S. MILLER  
For: System for Collecting Tax Data

Certificate  
MAR 12 2004  
of Correction

Attorney Docket No.: 31921-169140  
Customer No.: 26694

**Request for Certificate of Correction Under 37 C.F.R. § 1.322**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The issuance of a Certificate of Correction is requested for the above-identified U.S. patent correcting the error set forth on the attached form PTO/SB/44, two copies of which are enclosed. The references cited below should be inserted as follows:

(56) References Cited

**U.S. PATENT DOCUMENTS**

5,505,461		04/1996	Bell et al.
5,799,283		8/1998	Francisco et al.
5,819,249		10/1998	Dohanich et al.
5,875,433		02/1999	Francisco et al.
5,875,435		2/1999	Brown
6,183,140	B1	2/2001	Singer et al.
6,289,319	B1	9/2001	Lockwood
6,311,170	B1	10/2001	Embrey
6,347,304	B1	2/2002	Taricani, Jr.

MAR 15 2004

## OTHER PUBLICATIONS

Randall, et al., "First Looks", Massachusetts CPA Review, Vol. 70, No. 1, pp. 30-32, Winter 1996.

Brozovsky, et al., "Tax Deposits Go Electronic", CPA Journal, Vol. 65, No. 12, pp. 53-54, December 1995.

"Tax Prep Software: Out Third Annual 1040 Face-Off", Accounting Technology, Vol. 10, No. 10, pp. 20-63, November 1994.

"SALES/USE Tax System", Taxware International, Inc., September 1999,  
<http://www.taxware.com/ZProducts/salesuse/sutaxsys.html>

"Linking Quicken to TurboTax"(with two pages of Table of Contents), pp. 1-3,  
[www.cma.zdnet.com/book/quicken/ch22/ch22.htm](http://www.cma.zdnet.com/book/quicken/ch22/ch22.htm)

"QIF Definition", pp. 1-6, [www.respmech.com/mym2qifw/qif\\_new.htm](http://www.respmech.com/mym2qifw/qif_new.htm)

"Quicken – Answers", pp. 1-2, [www.intuit.com/support/quicken/faqs/win3/5176.html](http://www.intuit.com/support/quicken/faqs/win3/5176.html)

"Quicken Deluxe 98", pp. 1-4, [www.mcronline.com/Quicken98.htm](http://www.mcronline.com/Quicken98.htm)

"Quicken Deluxe 98: taxes", pp.1-2, [www.cnet.com.sg/Briefs/Comparisons/Money/ss02g](http://www.cnet.com.sg/Briefs/Comparisons/Money/ss02g).

"Quicken QIF Alert", pp.1-4, [www.fi.inuit.com/technical/qif\\_fi\\_alert.cfm](http://www.fi.inuit.com/technical/qif_fi_alert.cfm)

"Shortcutz", Intuit Quicken® 99", pp. 1-2,  
[www.educationalmultimedia.com/shortcutz/spreadsheets/quicken99.cfm?1](http://www.educationalmultimedia.com/shortcutz/spreadsheets/quicken99.cfm?1)

Of the above references, the patents and the first four other publications were submitted with the Information Disclosure Statement filed on May 21, 2003. These references are not listed on the front page of the patent. A copy of the Information Disclosure Statement filed on May 21, 2003 without the documents and a copy of the corresponding filing receipt bearing the U.S. Patent and Trademark Office date stamp are enclosed.

The remaining seven other publications were submitted with the Information Disclosure Statement filed on June 22, 2001 and listed on page 3 of 3 of the Form 1449 filed therewith. These references are not listed on the front page of the patent. A copy of the Information Disclosure Statement filed on June 22, 2001 without the documents and a copy of the corresponding filing receipt bearing the U.S. Patent and Trademark Office date stamp are enclosed.

No fee is believed necessary. Should any fee be required, please charge our Account No. 22-0261 and advise us accordingly.

Respectfully submitted,

Date: March 9 2004



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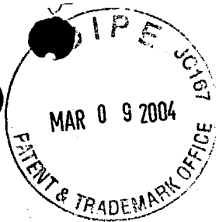
Telefax: (202) 344-8300

MAS/cdw  
DC2-525935



113091

Venable Filing Number



Attorney: MAS/CJS/trl  
PTO Due Date: May 21, 2003  
Date Filed:

TM Official Gazette Date:

Atty. Docket No: 31921-169140  
Re: David S. Miller

Application No: 09/776,707

Patent No.:

Trademark:

Opposition/Cancellation No:

Filing Date: February 6, 2001

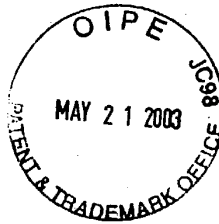
Issue Date:

Trademark Reg. No:

The following items were received from Venable, Washington, D.C., by the U.S. Patent & Trademark Office:

**U.S. PTO FEES ENCLOSED**

- ☒ Transmittal Letter  
☐ Fee Transmittal Letter  
☐ New U.S. Provisional Application ( pages of specification/claims)  
☐ Formal Drawings ( sheets, Figs.)  
☐ Invention Declaration  
☐ U.S. National Stage Application of PCT Application  
☐ Translation of International Application  
☐ New U.S. TM Application ( specimens)  
☐ Rule 53(d) Continued Prosecution Application  
☐ Substitute Specification  
☐ Rule 53(b) Continuation or Divisional Application (*attach copy of specification, claims, drawings & declaration*)  
☐ Priority Document-Cert. Copy of Appln.#: ; Country  
☐ Date Filed:  
☐ Request for Continued Examination (RCE) under 37 CFR 1.114  
☐ Request for Reconsideration  
☐ Application Data Sheet  
☐ Assignment w/Cover Sheet  
☒ IDS w/ PTO SB/08 a/k/a PTO Form-1449 (13 references)  
☐ Response  
☐ Amendment/☐ Preliminary Amendment  
☐ Petition/Request for Extension of Time (one mo. ext.)  
☐ Notice of Appeal  
☐ Appeal Brief (*in triplicate*)  
☐ Reply Brief (*in triplicate*)/ ☐ Request for Oral Hearing  
☐ Confirmation of Hearing Petition  
☐ Issue Fee Transmittal  
☐ Certificate of Correction  
☐ Maintenance Fee Transmittal  
☐ Power of Attorney  
☐ Response to Notice to File Missing Parts  
☐ Response to Notice to File Missing Requirements  
☐ Response to Restriction Requirement  
☐ Petition to Revive  
☐ Sequence Listing - CDR Enclosed? ☐ Yes ☐ No  
☐ Status Inquiry  
☐ Request for Non-Publication  
☐ Request to Rescind Non-Publication Request  
☐ Terminal Disclaimer  
☐ TM Statement of Use  
☐ Extension of Time ( mo. ext.)  
☐ Declaration Under 8  
☐ Declaration Under 8 and 15  
☐ TM Renewal Application  
☐ Notice of Opposition (*Please list all documents in Other section*)  
☐ Amendment to Alleged Use  
☐ Other: (*Please describe below*)



- \_\_\_\_\_ Filing Fee  
\_\_\_\_\_ Surcharge Fee  
\_\_\_\_\_ Additional Claim Fee  
\_\_\_\_\_ Recordation/Indexing Fee  
\_\_\_\_\_ IDS Fee  
\_\_\_\_\_ Extension Fee  
\_\_\_\_\_ Notice of Appeal Fee  
\_\_\_\_\_ Brief on Appeal Fee  
\_\_\_\_\_ Oral Hearing Request Fee  
\_\_\_\_\_ Petition Fee  
\_\_\_\_\_ Issue Fee  
\_\_\_\_\_ Publication Fee  
\_\_\_\_\_ Maintenance Fee  
\_\_\_\_\_ TM Statement of Use  
\_\_\_\_\_ 8 Affidavit Fee  
\_\_\_\_\_ 8 and 15 Affidavit  
\_\_\_\_\_ TM Renewal Application Fee  
\_\_\_\_\_ Notice of Opposition Fee  
\_\_\_\_\_ TM Extension of Time Fee

Total Fees Paid

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☐ Yes ☐ No

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**97743**

Venable Filing Number



June 22, 2001

Filing Date

Atty. Docket No. 31921-169140  
Re: David S. Miller

Application No.: 09/776,707

Patent No.:

Trademark:

Opposition/Cancellation No:

Filing Date: February 6, 2001

Issue Date

Trademark Reg. No:

The following items were received from Venable  
Washington, D.C., by the U.S. Patent & Trademark Office:

**U.S. PTO FEES ENCLOSED**

Transmittal Letter  
New Patent Application, title page, specification (20  
pages)/claims and abstract  
Formal Drawings (Sheets)  
Invention Declaration  
National Stage Application  
Translation of International Application  
New U.S. TM Application (specimens)  
Rule 53(d) Continuation or Division Application  
Rule 53(b) Continuation or Division  
Application (in Duplicate) (attach copy of specifications,  
claims, drawings & declaration)  
Priority Document-Cert. Copy of German  
Appln. # Date  
Assignment w/ Cover Sheet  
**Information Disclosure Statement with PTO  
Form 1449 (with 23 cited references)**  
Response  
**Second Preliminary Amendment**  
Petition/Request for Extension of Time  
Notice of Appeal  
Appeal Brief (in triplicate)  
Request for Oral Hearing  
Confirmation of Hearing Petition  
Issue Fee Transmittal  
Certificate of Correction  
Maintenance Fee Transmittal  
TM Statement of Use  
Declaration Under 8  
Declaration Under 8 and 15  
TM renewal Application  
Notice of Opposition  
Request for Corrected Filing Receipt  
Terminal Disclaimer  
Submission of Certified Priority Document Transmittal

XX

XX



Filing Fee

Surcharge Fee

XX -- \$148.00

Additional Claim Fee

Recordation/Indexing Fee

IDS Fee

Extension Fee

Notice of Appeal Fee

Brief on Appeal Fee

Oral Hearing Request Fee

Petition Fee

Issue Fee

Maintenance Fee

TM Statement of Use

8 Affidavit Fee

8 and 15 Affidavit

TM Renewal Application Fee

Notice of Opposition Fee

Terminal Disclaimer

\$148.00

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TOTAL FEES

P 405933

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DC2-294084